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PROGRAM OPERATIONS MANUAL SYSTEM
Part 01 Records Maintenance
Chapter 045 - Automated State and Local Reconciliation System
Subchapter 03 - General ASLRS Features

New Material	No. of Pages	Discard	No. of Pages
Conversion Chart	1	----	
Table of Contents (RM 04503.005-RM 04503.015)	1	Table of Contents (RM 04503.001-RM 04503.016)	1
RM 04503.005B.8. - RM 04503.015C.2 (Cont.)	6	RM 04503.001-RM 04503.016	18
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Background

The purpose of the Automated State and Local Reconciliation System (ASLRS) is to reconcile States' wage reports to their contributions payments and provide final audit and trust fund functions. Chapter 045 has been renamed to reflect this new information. The Hewlett-Packard 3000 minicomputer provides internal ASLRS database maintenance and data entry functions. This subchapter describes the basic ASLRS components and features of the data entry processes.

Explanation of Manual Changes

This material was originally published as RM 04520.000. That subchapter is now obsolete. An overview of ASLRS processes has been added and general keying instructions have been expanded. The original subchapter 03, Deposit Controls, has been expanded and renumbered as subchapter 05.

A

U.S. Department of
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PROGRAM OPERATIONS MANUAL SYSTEM

Part 01

Records Maintenance

CHAPTER 045

Automated State and Local Reconciliation System

SUBCHAPTER 03

General ASLRS Features

U.S. Department of
Health and Human Services
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Check List of POMS Transmittals Received

TN	Date	Initial	TN	Date	Initial	TN	Date	Initial	TN	Date	Initial
1.			37.			73.			109.		
2.			38.			74.			110.		
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5.			41.			77.			113.		
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Check List of POMS Transmittals Received

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Chapter 045 - Automated State and Local Reconciliation System

Subchapter 03 - General ASLRS Features

Old POMS (RM) Reference	***New POMS (RM) Reference***
RM 04520.000	RM 04503.000

04503.000 General ASLRS Features

	Section
Table of ASLRS Processes	04503.005
Overview of ASLRS Processes for a Tax Year	04503.010
Hewlett-Packard Overview and General Instructions	04503.015

04503.005 Table of ASLRS Processes

A. Definition

Automated State and Local Reconciliation System (ASLRS) is an SSA system developed to audit State and local wage reports and contributions payments, effective with tax year 1982. The system:

- Extracts wage data from forms W-2 processed under the combined annual wage reporting process.
- Maintains data bases for processed and reported wages and contributions payments using a Hewlett-Packard minicomputer with on-line terminals in OCRO, State Operations Branch

NOTE: Annual audit functions cease after tax year 1986 reconciliation is complete, due to the Omnibus Budget Reconciliation Act of 1986 transferring reporting and contributions control to IRS. However, it will be a number of years beyond the 1986 processing cycle before audits for 1982-1986 are completely reconciled and closed out by ASLRS.

B. Description

The following are major ASLRS processes and their functions.

1. STATE'S LIST OF EMPLOYESS (SLEE)

- List of all W-2's processed under an IRD 69 number for a tax year.
- Sent to State for reconciliation purposes.

2. DEPOSIT CONTROL

- Data entry of information relating to periodic State deposits of report liability.
- Balanced to forms SSA-3961.
- Used in Summary of Deposits/Contributions.
- Used in compilation of contributions due for audit statement.

3. FORMS SSA-3961

- Data entry of contribution information forming the basis for State deposits.
- Balanced to State deposits.
- Used in Summary of Deposits/Contributions.
- Used to determine contributions paid for audit purposes.

4. FORMS SSA-3962

- Data entry of individual entity reported liability for a tax year.
- Used in producing annual SLEX and SLER.
- Used to determine reported liability for audit purposes.

5. FORMS W-3

- Database compiled from processed W-3 information received from the Combined Annual Wage Reporting System.
- Data entry of updates, reconciliation actions, and corrections to the original database.
- Used to provide processed wages data for audit purposes.

6. SUMMARY OF DEPOSITS/ CONTRIBUTIONS

- Summarizes deposit liability.
- Sent to State as cumulative accounting of deposits received and contributions liability status.
- Details every deposit and each form SSA-3961 when processed and as changes to their status occur.

7. STATE'S LIST OF EMPLOYERS (SLER)

- List of all forms SSA-3962 submitted and forms W-3 processed for a tax year.
- Shows reconciliation actions taken by States for W-3's based on SLEE review.
- Summarizes reporting liability portion of annual audits.
- Sent to States as part of annual audit package.

8. STATE'S LIST OF EXCEPTIONS (SLEX)

- Compares all forms SSA-3962 to forms W-3 processed for a tax year and lists those that do not balance.

B. Description (Cont.)

8. STATE'S LIST OF EXCEPTIONS (SLEX) (Cont.)

- Sent to States with the SLEE as a reconciliation aid.
- Sent to State with revised audits (audits revising the initial annual audit accompanied by a SLER).

9. ANNUAL AUDIT

- Summarizes a States's wage liability for a tax year, compares to contributions paid, and shows net amount overpaid or payable.
- Sent to all States annually to permit them to close out liability for a tax year (through tax year 1986).
- Revised as necessary on a State-by-State basis.

10. STATE-BY-STATE AUDIT

- Permits release of an audit package to an individual State rather than all States at once.
- Used to provide revised audits after an all-States annual audit has been released for a tax year.

11. OPEN ACTIONS

a. Controls actions that remain open after issuance of an audit statement:
   - Underpayment
   - Overpayment
   - Interest Charges
   - Advance Credit

b. Closes out open actions as they are resolved.

12. DAILY OUTPUT

a. Tracks data entry and correction activities to the following data bases:
   - form SSA-3961
   - form SSA-3962
   - form W-3

b. Provides transaction lists to OCRO, STB, summarizing these activities and the results by State code and clerk number.

04503.010 Overview of ASLRS Processes for a Tax Year—Process Description

The following chart describes ASLRS processes relating to:

- Annual report, reconciliation, and audit activities through tax year 1986.
- Ongoing reconciliation, correction, and revised audit activities.

Stage	*What Happens*
1	State makes semimonthly deposits of contributions due on wages paid. State continues with ongoing supplemental and corrective deposit activities.
2	OCRO enters deposit ticket data (form SF-215) and contributions return data (form SSA-3961) to ASLRS via Hewlett-Packard minicomputer. Provides basis for contributions reconciliation.
3	Entities submit forms W-3/W-2 to Data Operations Centers after tax year ends. Forms are processed via combined annual wage reporting system (CAWR).
4	States send SSA-3962 lists to OCRO on paper or magnetic tape, summarizing reporting liability for each entity.
5	• OCRO keys SSA-3962 lists via IV-Phase system. • OSDD runs IV-Phase output tapes to ASLRS database.

Stage	What Happens
6	At close of tax year, and periodically throughout the year, OSDD loads processedW-3 data from CAWR to ASLRS.
7	After close of tax year, State's List of Employees (SLEE) is run: • from processed W-2 data from CAWR. • contains all W-2's processed under a 69 number during the processing year. • released to States for reconciliation purposes.
8	States's List of Exceptions (SLEX) is run at the same time as the SLEE: • draws current data for tax year from W-3 and SSA-3962 databases. • contains a listing for each entity for which processed W-3 doesn't balance to reported SSA-3962. • States use with the SLEE to reconcile the tax year.
9	States send in additional information, payments, corrections, etc. based on SLEE/SLEX reconciliation: • OCRO verifies reconciliation data. • Keys additions/corrections to SSA-3962 and W-3 databases for report liability and SSA-3961 database for contributions liability. • Receives transaction lists of changes keyed for audit trail and verification purposes.
10	When reconciliation is complete for a tax year, SSA issues an annual audit package to each State, containing the following parts: a. Deposits/SSA-3961 data is detailed in Summaries of Deposits and Contributions. b. Annual States's List of Employers (SLER) draws from W-3 and SSA-3962 databases to summarize liability for every entity. c. Supplemental lists detail reconciliation activities recorded in W-3 database. d. Annual audit statement: • Draws wage report liability from W-3 and SSA-3962 databases. • Computes contributions paid from SSA-3961 records that balance to deposits. • Provides bottom line statement of overpaid/underpaid status and interest due. • Provides information on due dates for making appeals and for paying audit liability.
11	Open actions processing system provides for closeout of underpayment, overpayment, interest and advance credit audit items as they are reconciled by the States and SSA.
12	SSA and the States conduct ongoing post-audit reconciliation activities leading to revised audits via the State-by-State audit process.
13	OCRO and OPR conduct trust fund reconciliation based on processed liability for the tax year.

Stage	What Happens
14	OCRO continues to process and audit W-3C/W-2c correctional reports submitted by the States: • Applying results to ASLRS where applicable. • Satisfying overpayments by check issuance when a State no longer has outstanding underpayments. (States have no more reporting liability after tax year 1986 cycle.)
15	Reconciliation activities and revised audits continue for all States for tax years 1982-1986 toward an eventual final closeout for all years.

04503.015 Hewlett-Packard Overview and General Instructions

A. Preview

These are the general features and beginning procedures for using the various ASLRS data entry programs.

a. The Hewlett-Packard 3000 System is the minicomputer used for ASLRS.

- On-line terminals in State Operations Branch (STB).
- Large-scale printer located in Hewlett-Packard room in OCRO.
- Two smaller printers located in STB.

b. The following data entry programs are maintained for ASLRS on the H.P. 3000 System:

- SSA-3961 original entry
- SSA-3961 correction
- Deposits original entry
- Deposits correction
- SSA-3962 correction
- W-3 correction
- W-3 delinquents review and release

c. The following data bases are loaded from sources outside STB and used in ASLRS.

- Processed W-3's
- W-3 Delinquents
- SSA-3962's

B. Exhibit

This is the format of the Main Menu

ASLRS MAIN MENU (DATE)

Function Key	***Process***
f1	Deposits
f2	Contributions
f3	Print Trust Fund List
f4	3962 Corrections
f5	W-3 Corrections
f6	W-3 Delinquents
f8	Exit

Press the appropriate Function Key

C. Procedure

1. START-UP

a. Turn on the terminal by means of the switch on the back of the display terminal.

b. Eight boxes are displayed at the bottom of the screen.

- Ensure that an asterisk appears in the fourth box, labelled "Remote".
- If no asterisk appears, press function key f4 and it will appear.

c. Press the RETURN key and a colon(:) is displayed.

d. Enter the necessary passwords and required language maintained in your branch.

e. The Main Menu for ASLRS will be displayed.

2. BASIC KEYING

a. Select your program from the main menu. This leads to either a:

- submenu for further selection
- identification screen to access the record you want.
- data entry screen to begin keying a record.

C. Procedure (Cont.)
2. BASIC KEYING (Cont.)

b. Use system-generated messages along with operations procedures to step through data entry programs. Messages are displayed at the bottom of the data entry display above the function key designations.

c. Use function keys as specified in procedure and by system messages.

- Functions may vary with each subprogram.
- Boxes at bottom of the screen explain usage of each key in the program you are in.
- In ASLRS, function keys control data entry, subprogram access, edit, and exit functions.

d. Select a specific data entry program as explained and illustrated in succeeding subchapters. This results in a screen display of data fields with a flashing cursor positioned in the beginning of the first field to be keyed.

- Key data into the bracketed area below the field name—cursor moves as you key.
- Skip a field by depressing the tab key (forward arrow).
- Go back to previous fields by the tab back key (reverse arrow) or shifted tab key depending on your keyboard.
- Exit a money field that you only partially fill by pressing the skip key after you key the last digit.

e. Enter a record, after you finish keying the display, by pressing the ENTER key.

f. Respond to any edit messages that appear after you press ENTER. System performs:

- Field edits— ensuring valid data in a particular field.
- Record edits— ensuring that data is valid for the type of record you are keying.
- Money edits— ensuring that values are valid and that they balance to required fields.
- Edits between records of a multi-level program— each level is entered and edited separately, but may be re-edited when all levels are finished.
- Sequential messages— some messages are displayed only for several seconds, followed by a second message.

g. When a record is accepted by the system, it will normally display the prior menu and present an option for further action. Follow the messages and operating procedure to determine the next action.

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